

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER

920602-97830

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

10/522924

INTERNATIONAL APPLICATION NO.

PCT/GB 2003/003746

INTERNATIONAL FILING DATE

August 29, 2003

PRIORITY DATE CLAIMED

August 30, 2002

TITLE OF INVENTION

Optical Projection Tomography

APPLICANT(S) FOR DO/EO/US

James Alexander Sharpe

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☐ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11 to 20 below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 CFR 1.76.
15. ☒ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.
18. ☐ A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20. ☐ Other items or information:

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

|  |              |   |            |   |                 |
|--|--------------|---|------------|---|-----------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)  |              | INTERNATIONAL APPLICATION NO.   |            | ATTORNEY'S DOCKET NUMBER  |                 |
| 10/522924  |              | PCT/GB2003/003746   |            | 920602-97830  |                 |
| 21. The following fees are submitted:  |              |   |            | Applicant use   | Office use only |
| <input checked="" type="checkbox"/> a) Basic national fee..... \$300.00  |              |   |            | \$  |                 |
| <input checked="" type="checkbox"/> b) Examination fee..... \$200.00   |              |   |            | \$  |                 |
| <input checked="" type="checkbox"/> c) Search fee..... \$500.00  |              |   |            | \$  |                 |
| TOTAL OF ABOVE CALCULATIONS = \$1000.00  |              |   |            | \$ 1,000.00   |                 |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.   |              |   |            |   |                 |
| Total Sheets   | Extra sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE       |   |                 |
| - 100 =  | /50 =        |   | x \$250.00 | \$  |                 |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(e)).   |              |   |            | \$  |                 |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA  | RATE       | \$  |                 |
| Total claims   | 10 - 20 =    | 0   | x \$50.00  | \$ 0  |                 |
| Independent claims   | 3 - 3 =      | 0   | x \$200.00 | \$ 0  |                 |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |   | + \$360.00 | \$ 0  |                 |
| TOTAL OF ABOVE CALCULATIONS =  |              |   |            | \$ 1,000.00   |                 |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.   |              |   |            | \$  |                 |
| SUBTOTAL =   |              |   |            | \$ 1,000.00   |                 |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(f)).  |              |   |            | \$  |                 |
| TOTAL NATIONAL FEE =   |              |   |            | \$ 1,000.00   |                 |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property   |              |   |            | \$  |                 |
| TOTAL FEES ENCLOSED =  |              |   |            | \$ 1,000.00   |                 |
| Amount to be refunded:   |              |   |            |   | \$              |
| Amount to be charged   |              |   |            |   | \$              |
| <p>a. <input checked="" type="checkbox"/> A check in the amount of \$1,000 to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>12-0913</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> |              |   |            |   |                 |
| <p><b>NOTE:</b> Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.</p>   |              |   |            |   |                 |
| <p>SEND ALL CORRESPONDENCE TO:<br/>Barnes &amp; Thornburg LLP<br/>One North Wacker Drive<br/>Suite 4400<br/>Chicago, IL 60606</p>  |              |   |            |   |                 |
|  |              |   |            | <p><i>William M. Lee, Jr.</i><br/>SIGNATURE</p> <p>William M. Lee, Jr.<br/>NAME</p> <p>26,935<br/>REGISTRATION NUMBER</p> |                 |

10/522924

DT05 Rec'd PCT/PTO 25 JAN 2005

"Express Mail" mailing label number

EV 588864529US

Date of deposit: January 25, 2005

I have caused that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450

Minnie Wilson

(Typed or printed name of person mailing paper or fee)

Minnie Wilson

(Signature of person mailing paper or fee)

DT05 d PCT/PTO 25 JAN 2005

920602-97830

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE THE APPLICATION OF )

James Alexander Sharpe )

SERIAL NO.: To be Assigned )

FILED: Herewith )

FOR: Optical Projection Tomography )

) Customer Number: 23644

)  
 I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on January 25, 2005.

Name of person signing Minnie WilsonSignature Minnie Wilson**REQUEST FOR FILING OF SUBSTITUTE SPECIFICATION**

Honorable Director of Patents and Trademarks  
 P.O. Box 1450  
 Alexandria, VA 22313-1450

Dear Sir:

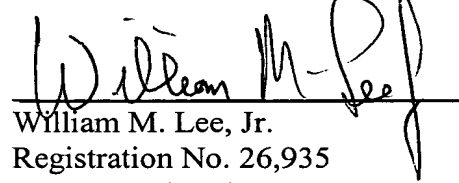
In accordance with 37 C.F.R. §1.125, it is requested that a substitute specification be accepted for that presently on file in the International Phase of the present application.

In accordance with 37 C.F.R. §1.125(b), the substitute specification, excluding the claims, is appended hereto. In accordance with 37 C.F.R. §1.25(c), the substitute specification is provided as both a version with markings showing the matter to be deleted, as well as a clean version.

Acceptance of the substitute specification, which is being filed in order to delete the subject matter of claims 11 and 12 of the International application, is requested.

January 17, 2005

Respectfully submitted,

A handwritten signature in black ink, appearing to read "William M. Lee, Jr.", is written over a horizontal line.

William M. Lee, Jr.  
Registration No. 26,935  
Barnes & Thornburg  
P.O. Box 2786  
Chicago, Illinois 60690-2786  
(312) 214-4800  
(312) 759-5646 (fax)